

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE FORM PTO-1390 (REV. 11-2000)		ATTORNEY'S DOCKET NUMBER hunteb01.007
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (If known, see 37 CFR 1.5 10/018696
INTERNATIONAL APPLICATION NO. PCT/US01/00636	INTERNATIONAL FILING DATE 9 JAN 2001	PRIORITY DATE CLAIMED 10 JAN 2000
TITLE OF INVENTION Resource allocation techniques		
APPLICANT(S) FOR DO/EO/US Brian A. Hunter, Soulaymane Kachani		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> <li><input type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li><input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</li> <li><input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))             <ol style="list-style-type: none"> <li><input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li><input type="checkbox"/> has been communicated by the International Bureau.</li> <li><input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li><input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).             <ol style="list-style-type: none"> <li><input type="checkbox"/> is attached hereto.</li> <li><input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li><input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))             <ol style="list-style-type: none"> <li><input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li><input type="checkbox"/> have been communicated by the International Bureau.</li> <li><input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li><input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li><input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li><input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). Copy of declaration filed in PCT/US01/00636</li> <li><input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> <p>Items 11 to 20 below concern document(s) or information included:</p> <ol style="list-style-type: none"> <li><input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li><input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li><input type="checkbox"/> A FIRST preliminary amendment. Assignment filed in PCT/US01/00636</li> <li><input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</li> <li><input type="checkbox"/> A substitute specification.</li> <li><input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li><input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</li> <li><input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li><input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li><input checked="" type="checkbox"/> Other items or information: Copy of Notice of Missing Requirements; response to the NMP; check for \$27.00; copy of Declaration and assignment filed in PCT/US01/00636; return postcard</li> </ol>		

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)  
10/018696INTERNATIONAL APPLICATION NO.  
PCT/US01/00636ATTORNEY'S DOCKET NUMBER  
hunteb01.00721.  The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**

Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$1000.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$860.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$690.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =****CALCULATIONS PTO USE ONLY**Surcharge of \$130.00 for furnishing the oath or declaration later than  20  30 months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	47 - 20 =	27	x \$18.00	\$
Independent claims	3 - 3 =	0	x \$80.00	\$

MULTIPLE DEPENDENT CLAIM(S) (if applicable) + \$270.00 \$

**TOTAL OF ABOVE CALCULATIONS =** \$ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.

\$

**SUBTOTAL =** \$Processing fee of \$130.00 for furnishing the English translation later than  20  30 months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

**TOTAL NATIONAL FEE =** \$

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$

**TOTAL FEES ENCLOSED =** \$

Amount to be refunded: \$

charged: \$

- a.  A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b.  Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 501, 315. A duplicate copy of this sheet is enclosed.
- d.  Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

Gordon E. Nelson, Patent Attorney, PC  
57 Central St., P.O. Box 782,  
Rowley, MA 01969

SIGNATURE

Gordon E. Nelson

NAME

30,093

REGISTRATION NUMBER

**PATENT**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicant:** Strategic Capital Network, LLC

**Paper No.:**

**Application No:** 10/018,696

**Group Art Unit:**

**Filed:** 1/10/2000

**Examiner:** Karen R. McLean

**Title:** *Resource Allocation Techniques*

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Assistant Commissioner for Patents  
Washington, DC 20231

**Response to Notification of Missing Requirements**

This is in response to a Notification of Missing Requirements mailed 4/30/2002, confirmation no. 5130, which we received in the above application, which is the U.S. national stage of PCT/US01/00636. The Notice indicated that the missing requirements were the following:

- additional claim fees in the amount of \$27.00.
- a declaration of the inventors.

Included with this response are the following:

- a check in the amount of \$27 for the additional claim fees; and
- a copy of the papers filed 2/26/01 in the PCT application, together with a copy of the express mail label used in the filing and a copy of the date-stamped return postcard that we received from the PTO.

Included in these papers is an executed U.S. declaration.

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27.00 OP

Applicants have thus provided the missing requirements and respectfully submit that Examiner pass the application to examination. Should any additional fees be required, please charge them to Deposit Account number 501315. Any overpayment should further be credited to that account.

Respectfully submitted,

Gordon E Nelson

Attorney of record,

Gordon E. Nelson

57 Central St., P.O. Box 782

Rowley, MA, 01969,

Registration number 30,093

Voice: (978) 948-7632

Fax: (866) 723-0359

6/13/02

Date

### Certificate of Mailing

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:

Assistant Commissioner for Patents

Washington, D.C. 20231

on 6/13/02

(Date)

Gordon E. Nelson, #30,093

Gordon E Nelson

(Signature)



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
 United States Patent and Trademark Office  
 Washington, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/018,696	Brian A Hunter	hunteb01.007
		INTERNATIONAL APPLICATION NO.
		PCT/US01/00636
I.A. FILING DATE		PRIORITY DATE
01/09/2001		01/10/2000

Gordon E Nelson  
 Patent Attorney, PC  
 57 Central Street  
 P O Box 782  
 Rowley, MA 01969

**CONFIRMATION NO. 5130**  
**371 FORMALITIES LETTER**



\*OC000000007977130\*

Date Mailed: 04/30/2002

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Indication of Small Entity Status
- Priority Document
- Copy of IPE Report
- Copy of the International Application
- Copy of the International Search Report
- Request for Immediate Examination

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Additionally the following defects have been observed:

- Additional claim fees of \$27 as a small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are

due.

**SUMMARY OF FEES DUE:**

Total additional fees required for this application is \$27 for a Small Entity:

- Total additional claim fee(s) for this application is \$27
  - \$27 for 30 total claims over 20.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice MUST be returned with the response.*

KAREN R MCLEAN

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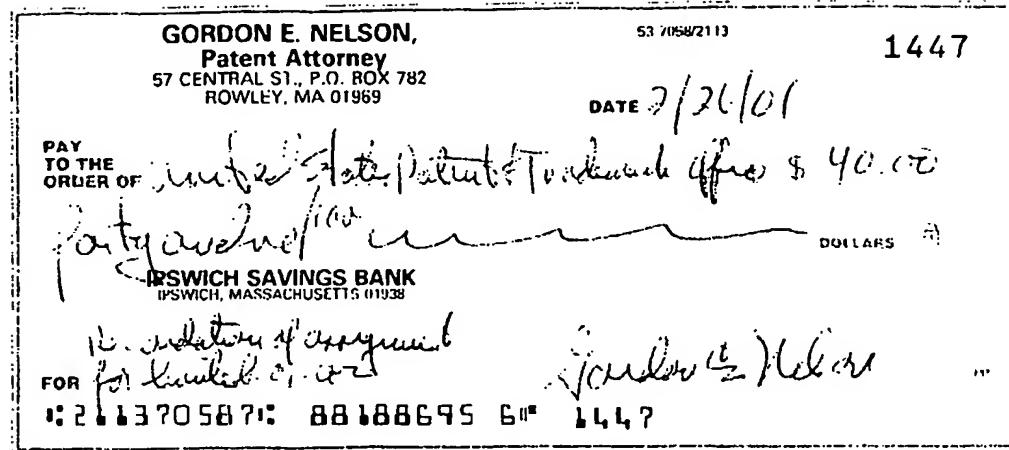
Telephone: (703) 308-9117

**PART 1 - ATTORNEY/APPLICANT COPY**

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U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/018,696	PCT/US01/00636	hunteb01.007

FORM PCT/DO/EO/905 (371 Formalities Notice)



To the Assistant Commissioner of Patents:

Dear Sir: Please stamp and return this postcard with the date of receipt of the following papers in : PCT/US01/00636, Hunter, et al., *Resource Allocation Techniques*, docket no: hunteb01.002

- Transmittal Letter
- PCT Power of Attorney
- 4 Replacement Pages of Figures
- Assignment and cover sheet with check for \$40.00
- U.S. Declaration
- return postcard

BEST AVAILABLE COPY